

Audit Period	Audit Name	Unique Reference	Issue	Status Aug 2022	Status Dec 2022	Priority	Created Date	Start Date	Target Implementation Date	Revised Target Implementation Date	Closed Date
OPEN / OUTSTANDING AGREED ACTIONS											
Pre 2021/22 Audits		2									
October 2019	Revenues and Benefits (CBC)	42640	Discounts and exemption reviews undertaken are not evidenced	Ongoing	Ongoing	3	12/11/2019		31/03/2020	31/12/2022	
July 2020	Planning Enforcement	44647	The Built Environment Local Enforcement Plan (Planning) has not been recently reviewed	Agreed	Agreed	3	13/10/2020	31/07/2021	31/08/2021	30/06/2023	
2021/22 Audits		8									
October 2021	Main Accounting and Accounts Receivable	47056	Write off Separation of duties.	Agreed	Agreed	2	04/05/2022		31/07/2022	31/10/2022	
October 2021	Main Accounting and Accounts Receivable	47096	Debt Management, recovery and write off guidance.	Agreed	Agreed	2	17/05/2022		30/09/2022		
November 2021	ICT - Control of Accounts with Administrative Privileges	47032	Potential for inappropriate and undetected local Administrator rights.	Agreed	Agreed	3	11/04/2022		30/11/2022		
September 2021	ICT - Vulnerability Management	47107	Device Security Status Checks	Agreed	Agreed	2	18/05/2022		31/12/2022		
July 2021	Procurement Cards (CBC)	47127	Charge Card Policy and Guidance Outdated	Agreed	Agreed	3	24/05/2022		30/09/2022		
July 2021	Procurement Cards (CBC)	47129	Non-compliance with Policy / Agreed Protocols	Agreed	Agreed	2	24/05/2022		30/09/2022		
September 2021	Emergency Planning (CBC)	46171	No guidance for the use of Emergency Response WhatsApp groups.	Ongoing	Ongoing	2	27/10/2021	31/01/2022	31/01/2022	31/12/2022	
January 2022	Monitoring the Performance of Strategic Commissioned Services	46754	Strategic Commissioned Service risk not identified in risk register	Agreed	Agreed	2	17/02/2022		30/06/2022	31/03/2023	
2022/23 Audits		7									
January 2022	Publica Performance Information	47714	KPI Definitions & Targets		Agreed	3	14/10/2022		31/03/2023		
January 2022	Publica Performance Information	47715	Management Checks		Agreed	3	14/10/2022		31/03/2023		
January 2022	Publica Performance Information	47715	6 monthly enhanced DBS checks are not completed as per the Common Standards.		Agreed	2	03/08/2022		31/03/2023		
June 2022	Taxi Licensing - Safeguarding (CBC)	47390	Common Standards.								
June 2022	Taxi Licensing - Safeguarding (CBC)	47396	Safeguarding training assurance.		Agreed	2	03/08/2022		31/12/2022		
June 2022	Taxi Licensing - Safeguarding (CBC)	47404	There are no agreed timeframes for informal taxi complaints.		Agreed	3	08/08/2022		31/12/2022		
June 2022	Taxi Licensing - Safeguarding (CBC)	47472	Certificate of good character declaration.		Agreed	3	22/08/2022		31/12/2022		
June 2022	Taxi Licensing - Safeguarding (CBC)	47478	Monitoring and Uniform data.		Agreed	2	24/08/2022		31/03/2023		

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COMPLETED / CLOSED AGREED ACTIONS											
Pre 2021/22 Audits - Agreed Actions Completed		5									
July 2019	Cyber Security - Incident Management	44563	There is no clear tracking mechanism for ongoing and recurring vulnerabilities.	Closed - Recommendation Complete	Closed - Recommendation Complete	3	10/11/2020		31/12/2021	30/06/2022	11/07/2022
October 2020	ICT Audit Deployment of Anti-Malware Devices	45452	There is currently no formal process in place to review, identify, validate and remediate gaps in anti-malware status and coverage.	Complete	Complete	3	17/05/2021		31/10/2021	30/04/2022	11/07/2022
July 2019	Cyber Security - Incident Management	44560	The Incident Management Policy, along with the Information Security Framework of policies, were last updated in 2017.	Outstanding	Complete	2	10/11/2020		30/04/2021	30/09/2022	13/10/2022
July 2019	Cyber Security - Incident Management	44561	Incident Response plans are not fully documented.	Agreed	Complete	3	10/11/2020		31/12/2021	30/09/2022	15/09/2022
July 2019	Cyber Security - Incident Management	44562	Incident Management and investigation procedures are not documented.	Agreed	Complete	2	10/11/2020		31/12/2021	30/09/2022	15/09/2022
2021/22 Audits - Agreed Action Completed		13									
April 2019	Asset Management (CBC)	44678	Reconciliation between the Uniform system and the Council's finance system is not completed as per the Financial Rules.	Complete	Complete	2	11/12/2020	30/06/2021	30/06/2021	31/03/2022	18/05/2022
July 2020	Systems Administration	45115	Privileged user accounts remain active when not required.	Closed - Recommendation Complete	Closed - Recommendation Complete	2	04/03/2021		31/01/2022	30/06/2022	17/05/2022
July 2020	Systems Administration	45236	A lack of control surrounds the Business World SYSTEM account.	Complete	Complete	2	25/03/2021		31/01/2022	30/06/2022	12/04/2022
October 2020	Revenues and Benefits (CBC)	44743	User Ids are not disabled when no longer required. Group permissions are not reviewed.	Complete	Complete	3	14/12/2020		31/01/2022	30/04/2022	13/07/2022
January 2021	ICT Audit Data Recovery Capabilities	45747	A Data Recovery Test Schedule was not available.	Complete	Complete	3	22/07/2021		31/12/2021		08/06/2022
July 2021	Procurement Cards (CBC)	47154	Transparency Data not published in a timely manner	Complete	Complete	3	06/06/2022		30/09/2022		23/06/2022
September 2021	Emergency Planning (CBC)	46173	Some Gold Commanders have not undertaken training in the last 3 years.	Complete	Complete	2	27/10/2021	31/03/2022	31/03/2022	30/06/2022	26/07/2022
September 2021	Emergency Planning (CBC)	46219	CBC Emergency Planning is not fully resourced.	Complete	Complete	1	02/11/2021	31/01/2022	31/01/2022	30/06/2022	26/07/2022
January 2022	Monitoring the Performance of Strategic Commissioned Services	46708	Corporate Risk Register	Closed - Recommendation Complete	Closed - Recommendation Complete	2	14/02/2022		30/06/2022		07/09/2022
November 2021	ICT - Control of Accounts with Administrative Privileges	46851	Accountability (enforced reason entry to view accounts)	Agreed	Complete	3	03/03/2022		30/11/2022		13/10/2022
November 2021	ICT - Control of Accounts with Administrative Privileges	47089	Last (current) Logged on user within Virtual environments	Agreed	Complete (Client Self Assessment)	3	13/05/2022		30/11/2022		13/10/2022
January 2022	H & S Fire Risk Assessments (CBC)	46438	There is no fire risk assessment work schedule	Agreed	Complete	2	06/12/2021	30/06/2022	31/03/2022	31/07/2022	12/10/2022
January 2022	Monitoring the Performance of Strategic Commissioned Services	46745	SWAP Board Papers	Agreed	Complete	2	16/02/2022		30/06/2022		27/09/2022